

COLEMAN SUDOL SAPONE, P.C.  
PATENT, TRADEMARK AND COPYRIGHT MATTERS.



708 THIRD AVENUE, 14TH FLOOR  
NEW YORK, NY 10017  
PHONE: (212) 679-0090  
FAX: (212) 679-9121  
E-MAIL: COSUD@EROLS.COM

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I hereby certify that this correspondence is being deposited with the United States Postal Service Express mail under 37 CFR 1.10 on the date indicated above and is addressed to: COMMISSIONER FOR PATENTS, Washington, DC 20231

Susanne Coppola

COMMISSIONER FOR PATENTS  
Washington, DC 20231

Date: **January 22, 2001**  
Docket No. **B41-004**



Sir:

Transmitted herewith for filing is the patent application in the name(s) of:  
**Lalit Narayan and Dechu P. Muthana**

**FOR: Securities Trading System and Related Method Using Security Pools**

**ENCLOSED ARE:**

- (1) Specification (pg. 1-22), Claims (pg. 23-33) & Abstract (page 34);
- (2) (4) sheet(s) of Drawings (Figs. 1-4);
- (3) Transmittal of Application Under 37 CFR § 1.41

**\*\* Small Entity Status applies to applicants.**

**THE FILING FEE HAS BEEN CALCULATED AS SHOWN BELOW:**

	Claims filed	Extra	SMALL ENTITY or	LARGE ENTITY
Basic Fee			\$ 355.00	\$ 710.00
Total Claims	37 - 20 = 17	x \$ 09. = 153.00	x \$ 18. =	
Indep. Claims	4 - 03 = 1	x \$ 40. = 40.00	x \$ 80. =	
( ) Multiple Dependent Claim Presented?		+ \$ 135. =	+ \$ 270. =	
		Total Filing Fee:	\$ 548.00	\$
		Assignment recordation fee (\$ 40.00):	\$	\$
		<b>CHECK ENCLOSED:</b>	<b>\$ 548.00</b>	<b>\$</b>

The Commissioner is hereby authorized to charge payment of all fees associated with the filing and prosecution of this application but not limited to: (X) Any patent application processing fees under 37 CFR 1.17  
(X) Any filing fees under 37 CFR 1.16 for the presentation of extra claims.

and credit any overpayment to Deposit Account No. **04-0838**. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

R. Neil Sudol, Reg. No. 31,669

Enclosures